

Element Performance Inspection (EPI) Data Collection Tool

1.3.23 Short-Term Escalations (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To provide policy, procedures, instructions, and/or information in the manual, which allows personnel concerned with the D076 operations specifications authorized Short-Term Escalations process to perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Short-Term Escalations process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Short-Term Escalations process.

Specific Instructions:

- Intentionally left blank.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 1.3.5 MEL / CDL / Deferred Maintenance (AW)
- 1.3.15 Reliability Program (AW)
- 5.1.1 Line Stations (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - D.076
 - D.076(a)
 - D.076(b)

- SRRs:
 - D.076(b)(1)
 - D.076(b)(2)
 - D.076(b)(3)
 - D.076(b)(4)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8300.10, volume 2, chapter 80

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this data collection tool.
2.	Review the policies, procedures, instructions, and information for the Short-Term Escalations process contained in the certificate holder's manual.
3.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the Short-Term Escalations process to gain an understanding of the procedures, instructions, and information contained in the certificate holder's manual.
5.	Discuss the Short-Term Escalations process with personnel (other than management) who perform the duties and responsibilities required by the process.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	Did the certificate holder's Short-Term Escalations remain within their authorized limits?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Did the certificate holder comply with the Short-Term Escalations provisions of its operations specifications? <i>Related Performance JTIs:</i> 1. Check at the Air Carrier Specified Location that short-term escalations used for an individual component, engine or aircraft did not conceal unsound maintenance practices, maintenance program deficiencies, or poor management decisions. <i>Sources:</i> 8300.10 Volume 2 Chapter 80(CHG 12) Section 1 Paragraph 5A(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Did the certificate holder inform the FAA certificate-holding district office (CHDO) when Short-Term Escalations are used?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, procedures, instructions, and information, contained in its manual for the Short-Term Escalations process, followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Short-Term Escalations process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Short-Term Escalations process comply with the instructions provided in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the Short-Term Escalations process effective in identifying problems or potential problems and providing corrective	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	action for them?	
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Short-Term Escalations process.
2.	Identify the person who has overall authority for the Short-Term Escalations process.
3.	Review the appropriate organizational chart.
4.	Review the duties and responsibilities for the person(s) who manage the Short-Term Escalations process documented in the certificate holder's manual.
5.	Discuss the Short-Term Escalations process with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Short-Term Escalations process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the Short-Term Escalations process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the Short-Term Escalations process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.